

Position Description (EP)

Read each heading carefully before proceeding. Make statements simple, brief, and complete. Be certain the form is signed. Send the original to SRS Personnel Services. Supervisors and incumbents are responsible for the completion of this form.

CHECK ONE: () NEW POSITION (X) EXISTING POSITION

PART I - Position Description

1. Agency Name Social and Rehabilitation Services	9. Position Number K0058819	10. Budget Program Number 01114
2. Employee Name (leave blank if position vacant)	11. Present Class Title (if existing position) State Auditor I	
3. Division Office of Audit and Consulting Services	12. Proposed Class Title	
4. Section	13. Allocation	
5. Unit	14 (a). Effective Date	14 (b). FLSA Code
6. Location (address where employee works) City Topeka County Shawnee	15. By Approved	
7. (Circle appropriate time) Full Time X Perm Inter Part Time Temp %	16. Audit Date: By: Date: By:	
8. Regular Hours (circle appropriate time) From: 8:00 AM To: 5:00 /PM	17. Position Reviews Date: By:	

PART I I - Organizational Information

Area for use by Personnel Office

18 (a). Briefly describe why this position exists. (What is the purpose, goal, or mission of the position)

The auditor in this position works independently on audits, consulting and special projects as assigned by the Audit Manager or Lead Auditor, insuring the agency complies with policies and is doing business in an efficient and effective manner.

18 (b). If this is a request to reallocate a position, briefly describe the reorganization, reassignment of work, new functionality added by law or other factors which changed the duties and responsibilities of the position.

19. Who is the supervisor of this position? (Who assigns work, gives directions, answers questions and is directly in charge.)

Name: Christopher S. Johnson

Title: Assistant Audit Director (PSE III)

Position Number: K0054462

Who evaluates the work of an incumbent in this position?

Name: Same

Title:

Position Number:

20. a) How much latitude is allowed employee in completing the work? b) What kinds of instructions, methods and guidelines are given to the employee in this position to help do the work? c) State how and in what detail assignments are made.

The auditor in this position works on audits, consulting and special projects assigned by the Audit Manager or Lead Auditor. These audits include compliance, financial, performance, and information technology audits for the agency. Audit plans are approved by the Audit Manager or Lead Auditor. Works independently on assignments that do not require a team. May lead another Auditor I on a project. Directions are given orally or in writing by the Audit Manager or Lead Auditor but the incumbent must be able to use his/her education, skills and training to make sound, professional conclusions and judgments.

d) Which statement best describes the result of error in action or decision of this employee.

- () Minimal property damage, minor injury, minor disruption of the work flow.
- (x) Moderate loss of time, injury, damage, or adverse impact on health and welfare of others.
- () Major program failure, major property loss, or serious injury of incapacitation.
- () Loss of life, disruption of operations of a major agency.

21. Describe the work of this position using this page or one additional page only. (Use the following format for describing job duties:)
What is the action being done (use an action verb); to **whom** or **what** is the action directed (object of action); **why** is the action being done (describe the result or outcome expected); ***How** is the action expected to be performed (describe the manner, methods, techniques or procedures in which the task is currently performed). For each task state: Who reviews it? How often? What is reviewed for?

Number Each Task and Indicate Percent of Time and Identity of each function as essential or marginal by placing an E or M next to the % of time for each task. Essential functions are the primary job duties for which the position was created and that an employee must be able to perform, with or without reasonable accommodation. A marginal function is a peripheral, incident or minimal part of the position

No.	%	E OR M
-----	---	--------

1	10	E	<p><u>Planning.</u> For simple projects, and when assisting in more complex projects, identifies the scope of the assigned audit, review, evaluation, consulting or special project under the supervision of the Audit Manager or Lead Auditor. Helps develop research and work plans; helps develop measurable criteria used to test conformity with State and Federal regulations, established policies and procedures and in accordance with Generally Accepted Auditing/Accounting Practices; helps ascertain the level and type of research required to address the audit scope and provider compliance; helps identify data sources needed and available to complete the audit; and assists in establishing timelines for completion of each audit. Work is accomplished by having a working knowledge and understanding of auditing procedures, applied research methods, State and Federal regulations, and policies and procedures governing the entity or provider being audited. Review of work is completed by the Audit Manager, Senior or Lead Auditor for thoroughness of plan and its ability to achieve the desired objective.</p>
2	65	E	<p><u>Performing Audits, Reviews and Evaluations.</u> Conducts studies within the scope of the audit plan independently or with assistance of other auditors within the unit; designs instruments and collects data related to the audit plan from the responsible persons with sufficient comprehensiveness, frequency and accuracy to permit reliable conclusions to be drawn within established time frames. Collects data through case reviews, surveys, observation, inspection of operational procedures or other means necessary to determine compliance or performance. Prepares and maintains working papers that are complete, concise, understandable and can be referenced, and contain sufficient information to support findings and conclusions. Performs quantitative and qualitative evaluation of data collected in order to draw conclusions about work related to audit objectives, which are complete, logical, clear and supported by evidence obtained or developed during the audit. Performs statistical analysis and develops tables, and other statistical products that will aid in the communication of results, if necessary. Material is to be accurate, supportable, and statistically accurate. Periodic progress reports are provided to the Audit Manager, Senior or Lead Auditor. Review of work is completed by the Audit Manager, Senior or Lead Auditor for completeness of information and reliability of results.</p>
3	10	E	<p><u>Consulting and Special Projects.</u> Based on results of the work plan, evaluation, and/or facilitation as required for the project, prepares a report that is clear, concise and easily understood by the audience who may include other State personnel and the general public. Reports must contain all the basic elements i.e., background, opinion, compliance statements, scope, findings, recommendations, and implementation steps as appropriate. Prepares memoranda and letters that respond to or ask questions about the work of the project. Drafts special reports as requested by management. All reports are in compliance with the report standards as set forth in applicable audit and consulting standards. Review of work is completed by the Audit Manager, Senior or Lead Auditor for completeness of information, reliability of results and clarity of report.</p>
4	10	E	<p><u>Communicating Results.</u> Based on results of the work plan, evaluation, and/or facilitation as required for the project, prepares a report that is clear, concise and easily understood by the audience who may include other State personnel and the general public. Reports must contain all the basic elements i.e., background, opinion, compliance statements, scope, findings, recommendations, and implementation steps as appropriate. Prepares memoranda and letters that respond to or ask questions about the work of the project. Drafts special reports as requested by management. All reports are in compliance with the report standards as set forth in applicable audit and consulting standards. Review of work is completed by the Audit Manager or Senior Auditor for completeness of information, reliability of results and clarity of report.</p>
5	5	M	<p><u>Miscellaneous.</u> Participates in training, conferences, staff meeting and other events. Performs other duties as assigned.</p>

* The description of how the work is to be performed does not preclude the consideration of reasonable accommodation(s) for qualified persons with a disability.

22. Key Skills and Competencies

The individual in this position should have the following skills and competencies after a year in the position:

- Ability to complete simple to moderate difficulty audits on own.
- Ability to work somewhat independently with some oversight.
- Ability to perform audit steps in a complex audit plan developed by upper level auditors.
- Ability to facilitate and present simple oral findings/report.
- Understanding of the audit process in general and specific to the SRS Office of Audit (as per audit manual).
- Basic knowledge of controls and risk assessments and how to apply them.
- Understanding of audit standards and how they apply to the work.
- Understanding of the basic structure and functions of SRS.
- Good working familiarity of the agency email applications, MS Office and Teammate.
- Ability to think critically and analyze data.
- Ability to effectively communicate during the audit (interviews, exit conferences, update meetings, etc.) and in office and agency activities.
- Ability to complete personal work with minimal errors and on time. Rework is limited.
- Ability to provide written findings and recommendations and prepare a report for simple to moderate difficulty audits.
- Ability to multitask projects and activities appropriate for the classification level.
- Desire to learn and continue development of skills through audit training.
- Understanding of what leadership means within SRS and the audit function and beginning development of those skills.

23. List the consequences of not performing the essential functions of this position as identified in Section 21.

Errors in audits could result in (1) misinformation to Audit Committee and other agency managers who rely on the validity of the section's reports; (2) incorrect settlements on payments to providers or grantees for services purchased or programs funded by SRS; (3) delays in completing and issuing audit reports; (4) appeals of disputed audit findings; (5) the use of incorrect or inefficient accounting and control procedures by SRS, providers or grantees. Failure to effectively provide consulting services could result in inability of the agency to find solutions to barriers to achieving the agency mission, and major loss of public monies and services to the citizens of Kansas.

23. a. If work involves leadership, supervisory, or management responsibilities, check the statement which best describes the position

- () Lead worker assigns, trains, schedules, oversees, or reviews work of others.
() Plans, staffs, evaluates, and directs work of employees of a work unit.
() Delegates authority to carry out work of a unit to subordinate supervisors or managers.

b. List the class titles and position numbers of all persons who are supervised directly by employee in this position.

Class Title

SHARP Position Number

The person in this position does not directly supervise anyone but may lead another individual on the same classification during an audit project. The incumbent also assists clerical staff in gathering data for audits.

24. For what purpose, with whom and how frequently are contacts made with the public, other employees or officials?

In auditing the person will contact employees or representatives of providers or grantees to obtain information about cost reporting, sales or lease transactions, facility census, and audit arrangements. The person also contacts SRS employees to obtain information relevant to an audit or discuss policies and accounting, program and internal control issues. As part of an audit they may contact CEO's, attorneys, CPAs, agency accountants, program staff, corporate officers, agency management staff and others. In consulting the person will have frequent contacts with managers and others inside and outside the agency.

25. What hazards, risks or discomforts exist on the job or in the work environment?

- Travel to and from audit and other work related sites throughout the State, which may require overnight travel.
- Sometimes the accommodations or work environment are not suitable.
- Stress from adversarial relationships that sometimes develop from tension with employees or representatives of auditees.
- Stress from participating in adversarial proceedings such as in group settings working on problem resolution and audit exit conferences or trials.
- Eye strain from the constant use of computers.

26. List machines or equipment which are currently used to complete the tasks or production standards for this position. Indicate the frequency with which they are used.

The work requires routine daily use of PCs, copiers, fax machines, telephones.

PART III - Education, Experience and Physical Requirements Information

27. Minimum Qualifications as stated in the State of Kansas Class Specifications.

As stated in specifications. Two years of experience in examining internal work processes, financial and operational records and controls to assess effectiveness, accuracy of records and compliance with statutes, regulations and professional/legal standards. Education in accounting/ auditing, business administration, or economics may be substituted for experience as determined relevant by the agency.

28. SPECIAL REQUIREMENTS**A. State any additional qualifications for this position that are necessary to perform the essential functions of this position. (License, registration or certification).**

As stated in specifications.

B. List any skill codes or selective certification required for this position. Selective certification must first be approved by the State Division of Personnel Services.**C. List preferred education or experience that may be used to screen applicants.**

The best applicant will have a basic understanding of SRS programs and auditing.

29. Describe the physical characteristics of the job as they relate to essential functions (focus on results, not methods of obtaining results).

30. Describe any methods, techniques or procedures that must be used to insure safety for equipment, employees, clients and others.

PART IV - Signatures

Signature of Employee

Date

Signature of Personnel Officer

Date

Signature of Supervisor

Date

Signature of Agency Head or Appointing
Authority

Date